



U.S. Department of Transportation
Federal Transit Administration

Expanding Technical Capacity for Managing FTA Programs

Moderator: Dudley Whyte
Presentation: Leonard Tennessee

FTA Region IV 2008 Conference





Expanding Technical Capacity for Managing FTA Programs

- Discuss the areas where findings are most likely to occur during triennial reviews.
- Provide guidance that will effectively assist grantees in reducing findings.
- Allow grantees to discuss the issues that are impacting their agencies.
- Allow grantees to highlight its "Best Practices"





Expanding Technical Capacity for Managing FTA Programs

- Programs Trends and Findings
- Distribution of Findings
- Top 5 Areas of Findings
- Resources For Improvement
- Use of Contractor's Guide
- A-133 Audits
- Issues and Sharing of Grantee Best Practices





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- TOP 5 AREAS WITH FINDINGS

- 1) Procurement
- 2) Maintenance
- 3) Drug and Alcohol
- 4) Technical
- 5) Satisfactory Continuing Control





Major Deficiencies Data

		2006		2007	
		Nationwide	Region IV	Nationwide	Region IV
Reviews Conducted		189	40	178	36
Major Deficiencies	Procurement	163 (86.2%)	33 (82.5%)	130 (73%)	32 (88.9%)
	Maintenance	131 (69.3%)	40 (100%)	128 (71.9%)	32 (88.9%)
	Drug & Alcohol	117 (61.9%)	22 (55%)	124 (69.7%)	32 (88.9%)
	Technical	131 (69.3%)	28 (70%)	112 (62.9%)	19 (52.8%)
	Satisfactory Continuing Control	122 (64.6%)	25 (62.5%)	99 (55.6%)	20 (55.6%)





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- Grant Management Workshops
 - ❖ 12 in 2008
 - ❖ 14 in 2007





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- TYPICAL "PROCUREMENT" FINDINGS
 - ❖ Deficiencies in written Procurement Procedures and Policies
 - ❖ No FTA Clauses
 - ❖ Lacking Cost or Price Analysis
 - ❖ Lacking justification for non-competitive procurement





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- TYPICAL “MAINTENANCE” FINDINGS
 - ❖ Late Preventative Maintenance Inspections
 - ❖ Late Facility/equipment maintenance records inspections
 - ❖ Inadequate Facility/Equipment Maintenance plans
 - ❖ Inadequate oversight of contracted maintenance activities





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- TYPICAL “DRUG and ALCOHOL” FINDINGS
 - ❖ Inadequate Contractor program Monitoring
 - ❖ Inadequate vendor monitoring
 - ❖ Policy out of date
 - ❖ Policy lacking required elements





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- **TYPICAL “TECHNICAL” FINDINGS**
 - ❖ Timeliness of Milestone/Progress Reports
 - ❖ Timeliness of Financial Status reports
 - ❖ Inadequate monitoring the sub-recipients and third party contractors
 - ❖ Progress Reports lack required information
 - ❖ Inactive grants/late grant closeouts





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- TYPICAL "SATISFACTORY CONTINUING CONTROL" FINDING
 - ❖ Inadequate property records
 - ❖ Excessive spare ratio
 - ❖ Inventory not reconciled to property
 - ❖ Incidental use not approved





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- A-133 Audits

- Required if non-federal entities expend \$500,000 or more in a year
- Audits are performed in accordance with OMB Circular A-133
- If audit results in an FTA finding a copy of the entire report must be submitted the Regional Office
- If no Findings, grantee should submit a copy of the transmittal sheet.





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- RESOURCES FOR IMPROVEMENT
 - Review previous TR
 - Attend Workshops
 - Use the Workshop Guide
 - Use the FTA Toolkit
 - Use Circulars 5010, 4220, 9030





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- Third Party Procurement

http://www.fta.dot.gov/funding/grants_financing_6036.html





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QUESTIONS?

